

B 2100A (Form 2100A) (12/15)

## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings Inc.

Case No. 08-13555 (SCC)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

**SMBC Nikko Securities Inc.**

Name of Transferee

Name and Address where notices to transferee should be sent:

SMBC Nikko Securities Inc.  
3-1, Marunouchi 3-chome, Chiyoda-ku,  
Tokyo 100-8325, Japan  
Attn: Toshiki Yasuhara

Phone: 81-3-5644-3111

Last Four Digits of Acct #: \_\_\_\_\_

**SMBC Friend Securities Co., Ltd.**

Name of Transferor

Court Claim # (if known): 45933

Amount of Claim: \$ 300,035.00

Date Claim Filed: 10/26/2009

Phone: 81-3-5644-3111 (\*)

Last Four Digits of Acct. #: \_\_\_\_\_

\*starting 01/01/2018 after the merger between the transferor and the transferee became effective

Name and Address where transferee payments should be sent (if different from above):

SMBC Nikko Securities Inc.  
3-1, Marunouchi 3-chome, Chiyoda-ku,  
Tokyo 100-8325, Japan  
Attn: Toshiki Yasuhara  
Phone: 81-3-5644-3111  
Last Four Digits of Acct #: \_\_\_\_\_

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: M. Kamozuka  
Transferee/Transferee's Agent

Date: 01/04/2018

*Penalty for making a false statement:* Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.